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PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | | | | |
|--|--|----------------------|---------------------------|--------------|
| | | Application Number | 09/714,882 | |
| | | Filing Date | Nov 16, 2000 | |
| | | First Named Inventor | Turner, Jr., C. Alexander | |
| | | Group Art Unit | 1645 | |
| | | Examiner Name | To Be Assigned | |
| Total Number of Pages in This Submission | | 16 | Attorney Docket Number | LEX-0091-USA |

ENCLOSURES (check all that apply)

| | | |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers <i>(for an Application)</i> | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input checked="" type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | return postcard |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | Executed Declaration & POA |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | Part 2 of Notice to File Missing Parts |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | Verified Statement concerning Sequence Listing |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | Sequence Listing in Computer Readable Form on Diskette |
| Remarks | | 3 sets of Declarations-Powers of Attorney/6 pages total |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|--|
| Firm or Individual name | Lance K. Ishimoto Reg. No. 41,866 Lexicon Genetics Incorporated |
| Signature | |
| Date | May 9, 2001 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date:

| | |
|-----------------------|----------------|
| Typed or printed name | Michelle Klein |
| Signature | |
| Date | May 9, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): *Turner et al.*

Application No.: 09/714,882

Filed: November 16, 2000

Group Art Unit:
1645

Title: Novel Human Notch Ligand Proteins and
Polynucleotides Encoding the Same

Attorney Docket No.: LEX-0091-USA

VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I, Drenda D. Thomas, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable form under 37 C.F.R. § 1.821 - 1.825 in connection with the above-captioned patent application.

2. I hereby state that the contents of the paper and computer readable copies of the Sequence Listing are the same and that the computer readable form being submitted herewith does not include new matter.

5/9/01
Date

Drenda Thomas
Drenda D. Thomas



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|------------------|---|-------------------------------------|
| Applicant(s): | Turner et al. | |
| Application No.: | 09/714,882 | |
| Filed: | November 16, 2000 | Group Art Unit: 1645 |
| Title: | Novel Human Notch Ligand Proteins and Polynucleotides Encoding the Same | Attorney Docket No.: To Be Assigned |

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION - FILING DATE GRANTED**

Assistant Commissioner for Patents
Washington, D.C. 20231
Attention: Box Missing Parts

Sir:

In response to the "Notice to File Missing Parts of Application - Filing Date Granted" mailed by the U.S. Patent and Trademark Office on January 10, 2001, Applicants submit the following documents to complete the filing requirements of the above-identified application:

1. Executed Declaration and Power of Attorney; and
2. Return copy of Notice to File Missing Parts of Application - Filing Date Granted;
3. Verified Statement Under 37 CFR § 1.821(f); and
4. Sequence Listing in CRF (diskette)

Applicants also submit herewith the following document for the above-identified application:

5. Petition for Extension of Time of 2 months

The U.S. Patent and Trademark Office is hereby authorized to charge the following fees to Lexicon Genetics Incorporated Deposit Account No. 50-0892:

| | |
|---|-----------------|
| 1. Statutory basic filing fee | \$355.00 |
| 2. Surcharge Fee for filing declaration on a date later than the filing date of the application per 37 CFR 1.492(e) | \$65.00 |
| 3. Additional claim fees 37 CFR 1.16(b) - 3 independent claims over 3 | \$120.00 |
| TOTAL | \$540.00 |

4. The Commissioner is hereby authorized to charge any additional fees associated with this paper communication or credit any overpayment to Deposit Account No. 50-0892.

The documents submitted herewith complete the filing of the above patent application. This form is being submitted in duplicate.

Respectfully submitted,

5-9-01

Date



Lance K. Ishimoto

Reg. No. 41,866

LEXICON GENETICS INCORPORATED
4000 Research Forest Drive
The Woodlands, TX 77381
Telephone No.: (281) 863-3333

Enclosures



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|--------------------------|------------------------|
| 09/714,882 | 11/16/2000 | C. Alexander Turner, Jr. | LEX-0091-USA |

24231
LEXICON GENETICS INCORPORATED
4000 RESEARCH FOREST DRIVE
THE WOODLANDS, TX 77381

FORMALITIES LETTER



OC00000005669038

Date Mailed: 01/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$240.
 - \$240 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason (s):
 - A copy of the "Sequence Listing" in computer readable form has not been submitted as required under 37 CFR 1.821(e).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
- - For Technical Assistance, call (703) 287-0200
- - To Purchase PatentIn Software, call (703) 306-2600

- The balance due by applicant is \$ 1080.

05/17/2001 M6EBREM1 00000036 500892 09714882
01 FC-201 355.00
02 FC-202 120.00
03 FC-205 65.00

*A copy of this notice **MUST** be returned with the reply.*

F. Gammie

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE